

PATENT



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Attorney Docket No. TONG 2
[D8143-00300A]

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Tong

Serial No.: 10/015,477

Group Art Unit No.: not yet known

Filed: December 13, 2001

Examiner: not yet known

For: **Opto-Electronic Phase-Locked Loop with Microwave Mixing for Clock Recovery**

Certification Under 37 CFR 1.8

I hereby certify that this paper or fee (along with any paper referred to as being attached or enclosed) is being deposited with the United States Postal Service with sufficient postage as first class mail under 37 CFR 1.8 on the date indicated below and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Date of Deposit: March 18, 2002

Elizabeth Orleman
Elizabeth Orleman

Assistant Commissioner for Patents
Washington, D.C. 20231

INFORMATION DISCLOSURE STATEMENT TRANSMITTAL LETTER

Dear Sir:

Enclosed herewith is an Information Disclosure Statement pursuant to 37 CFR § 1.56 in connection with the above-identified application, which statement is being filed:

- ☐ Together with the present application.
- ☒ Before the first Office Action on the merits or three (3) months from the filing date of this application, whichever occurs last. [37 CFR § 1.97(b)]

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- ☐ After the first Office Action on the merits, but before a Final Office Action under §1.113 or Notice of Allowance under §1.311, whichever occurs first. [37 CFR § 1.97(c)]
- ☐ After a Final Office Action under §1.113 or Notice of Allowance under §1.311, but prior to or with payment of the Issue Fee. [37 CFR § 1.97(d)]

Consistent with Applicant's obligations pursuant to 37 CFR §§1.97 and 1.98, the following requirements have been met:

- ☒ No separate requirements are needed.
- ☒ No additional fee is required.
- ☐ **Fee Under 37 CFR § 1.97(c)**

The fee of \$180.00 for submission of an IDS under § 1.97(c) as set forth in § 1.17(p) accompanies this statement.
- ☐ **Fee Under 37 CFR § 1.97(d)**

The fee of \$180.00 for submission of an information disclosure statement under § 1.97(d) set forth in § 1.17(p) accompanies this statement.
- ☐ **Certification Under 37 CFR § 1.97(e)**

Each item of information contained in this statement was either

 - (1) cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement; or
 - (2) not known to any individual designated in § 1.56(c) more than three months prior to the filing of this statement.

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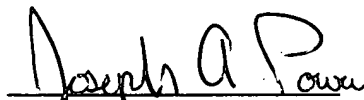
Provision of Copies of References

- ☒ A copy of each of the references listed on the attached Form PTO-1449 is enclosed herewith and forms a part hereof.
- ☐ A partial translation of Reference ____ is enclosed herewith and forms a part hereof.
- ☐ A copy of the European Search Report from a corresponding or related EPO application is enclosed herewith.
- ☐ A copy of the International Search Report from a corresponding or related PCT application is enclosed herewith.

Identification of Prior Application(s) In Which Listed Information Was Already Cited And For Which No Copies Are Submitted Or Need Be Submitted

- ☐ In accordance with § 1.98(d), copies of some or all of the referenced listed on the attached Form PTO-1449 (modified) are not enclosed herewith because they were previously cited by or submitted to the U.S. Patent and Trademark Office in prior Application Serial No. _____, filed on _____; for which a claim for priority under 35 U.S.C. § 120 has been made in the instant application.
- ☒ The Commissioner is hereby authorized to charge any fees associated with this communication or credit any overpayment to **Deposit Account No. 04-1679**. A duplicate copy of this transmittal is attached.

Respectfully submitted,


Joseph A. Powers
Registration No. 47,006

Date: March 18, 2002

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Substitute for form 1449A/PTO

Complete if Known

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Application Number	10/015,477
Filing Date	12/13/2001
First Named Inventor	Tong
Group Art Unit	
Examiner Name	
Attorney Docket Number	TONG 2

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Sheet 1 of 2

U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No.	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code ² (if known)			
	A	US- 6,178,022	01-23-2001	Yoneyama	
	B	US- 5,894,247	04-13-1999	Yoshida et al.	
	C	US- 5,590,143	13-31-1996	Takara et al.	
	D	US- 5,987,040	11-16-1999	Nesset et al.	
	E	US- 5,774,246	06-30-1998	Bulow	
	F	US- 5,594,583	01-14-1997	Devaux	
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FOREIGN PATENT DOCUMENTS

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		Country Code ³ -Number ⁴ -Kind Code ⁵ (if known)				

Examiner

Date


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¹Unique citation designation number (optional). ²See attached Kinds of U.S. Patent Documents. ³Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶Applicant is to place a check mark here if English language Translation is attached.

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Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.